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MEMORANDUM FOR: Secretary, Executive Advisory Group

FROM : F. W. M. Janney
Director of Personnel

SUBJECT : Initial Assignment and Orientation

REFERENCE : Minutes of the 20 Oct 76 EAG Meeting, Item 2g.

1. The Executive Advisory Group on 20 October 1976 asked the Office of Personnel to elaborate on its proposal that supervisors be rated on their performance in handling initial assignments of employees. Accordingly, we have prepared the following paper with attachments that spell out how we would embody the procedures in the appropriate administrative issuances. The Deputy Director for Administration has concurred with our recommendations.

2. Please note that we expect other amendments to the various regulations and forms and that we propose these changes be made concurrently.

F. W. M. Janney

Att.
As Stated

Distribution:
Orig - Adse
10 - Other EAG members
1 - ER
1 - DD/A
2 - D/Pers
1 - OP/PS

25X1 OP/P&C/PS [redacted] (7 Dec 76)

25X1

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INITIAL ASSIGNMENT AND ORIENTATION

Historically, Agency separations for failure to qualify in the first year trial period have been few. There were only fifteen such cases between October 1974 and October 1976, for example. It is impossible to determine whether the relatively low rate of "disqualifications" is attributable to excellent selection and placement, or whether the number would have been greater had supervisors properly exercised their responsibility for assessing new employees. It is fundamental that valid, fair assessments can only be made if supervisors provide new employees with adequate orientation, instruction and guidance, and these responsibilities must be affirmed.

The following actions are proposed:

Issue Notice to Headquarters and field personnel affirming supervisory responsibility for orientation, on-the-job training, and assessment of new employees; pointing out that supervisors will be rated on the manner in which they perform those duties; and assigning Operating Officials the responsibility for ensuring compliance.

Amend regulations to include requirement that rating officials identify supervisors of new employees and evaluate them on the manner in which they orient, train, and assess.

Amend Form 45i, Directions for Completing Form 45, Fitness Report, to include requirement that rating officials identify supervisors of new employees and evaluate them on the manner in which they orient and train. (The requirement for evaluation of performance in rating subordinates is already included.)

Amend Form 45, Fitness Report to include certification by rating and reviewing officials that the evaluation of performance has been prepared in compliance with Agency regulations, Directions for Completing (Form 45i), and Career Service instructions.

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Publish in package form the amended Form 45i (Directions for Completing Form 45, Fitness Report) and three copies of the amended Fitness Report (original for the Office of Personnel, one for the Career Service, and one for rough draft). The current Fitness Report contains no reference to the Directions and we believe it is an important but unknown document to the vast majority of Agency employees.

If the EAG approves the recommended amendments to regulations and Forms 45 and 45i, they will be incorporated with other revisions now in process.

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This Notice is Current Until Rescinded

PERSONNEL

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SUPERVISION AND EVALUATION OF NEW AGENCY EMPLOYEES

It is Agency policy of long-standing that supervisors at all echelons are responsible for the proper utilization and evaluation of personnel assigned to their respective jurisdictions. The purpose of this notice is to stress the importance management places on the vital responsibilities supervisors must assume in orienting, training and assessing new Agency employees. Assignments of persons in their first-year trial period of employment must be monitored and evaluated with particular care, as a service to them and the organization.

Rating officials will annually identify supervisors of new Agency employees and evaluate them on the manner in which they orient, train and assess. Operating officials are responsible for ensuring compliance with this notice.

E. H. Knoche
Deputy Director of Central Intelligence

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(5) The Director of Personnel will
   (a) review the findings of the panel;
   (b) inform the Head of the employee's Career Service, and if appropriate, the responsible Deputy Director, if he agrees with the panel determination in those cases where a question exists about the suitability of an employee or a dependent for the proposed overseas assignment.

c. **EXCEPTIONS.** Requests for exceptions to the above procedures may be submitted to the Chairman, Overseas Candidate Review Panel.

20. PERSONNEL EVALUATION

a. **GENERAL.** Evaluations of employees' job performance and of their relative capabilities and potential are inherent in personnel management and should be as objective as possible. The Agency's personnel evaluation program includes an Agency-wide system for job performance evaluation and comparative evaluation systems suited to the selection requirements of the Directorates and the Career Services.

(1) PERFORMANCE EVALUATION. The Agency's performance evaluation system is designed to promote communication and understanding between supervisors and employees with respect to the employees' performance of their assigned duties and to provide an official record of each employee's job performance in terms of Agency-wide criteria as defined in Section C of Form 45.

(2) COMPARATIVE EVALUATION. Systems for evaluating the relative capabilities and potential of employees are designed to facilitate selection decisions involving their utilization, promotion, and retention. These systems should include comparative evaluations of all factors pertinent to the selection decision and should exclude consideration of factors which have no real bearing on the decision. The results of these comparative evaluations are of transient value since they pertain to comparisons among members of particular groups and to specific selection considerations at given points in time. They are not recorded in official Agency records and usually are not made known to the employees concerned.

b. **PERFORMANCE EVALUATION.** Continuous evaluation of the performance of employees by their supervisors is an essential element of the Agency's personnel management program.

(1) POLICY

   (a) Supervisors will ensure that employees understand the nature and scope of their duties and responsibilities and are continuously advised as to the effectiveness of their performance.
   (b) Evaluations of the performance of staff personnel will be recorded in official Agency personnel records at least once each year. An employee will be shown all entries on the report of his performance evaluation except when operational circumstances, security considerations, or other unusual conditions make it impractical or ill-advised to do so. If the supervisor does not show the employee his performance evaluation report he will explain in the report the reasons for such action.
   (c) Employees may attach a written comment to their performance evaluation when they feel that it will contribute to the record of their job performance.

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(2) LETTERS OF INSTRUCTION. Supervisors will provide employees with written statements of the nature and scope of their work. To the extent practicable these statements will include annual performance objectives and action plans which specify the timing of results which the employees intend to accomplish. Supervisors will participate with employees in defining such objectives and plans as the standards for evaluating each employee's performance in terms of his productivity during the following year. Letters of instruction will be revised to record any significant changes in duties and responsibilities or in specific performance objectives.

(3) RECORDING PERFORMANCE EVALUATIONS

(a) The Fitness Report (Form 45) will be used to record performance evaluations and will be prepared and submitted in accordance with the instructions contained in Form 45i, Directions for Completing Form 45, Fitness Report.

(b) A memorandum in lieu of Form 45 is permitted for employees in grade GS–14 and above when it is clearly established that such a substitute is appropriate and not merely an avoidance of specificity. When a memorandum is used, care should be taken to ensure that the purposes of a Fitness Report are observed. The memorandum will be prepared in accordance with instructions contained in Form 45i.

(c) Promotion recommendations will not be made on Fitness Reports.

(d) Rating officials will evaluate supervisors annually on their performance in equal employment opportunity areas such as identification of personnel with potential for advancement, especially members of minority groups and women, maximum utilization of personnel, and participation in upward mobility programs; they will identify supervisors of new Agency employees and evaluate them on the manner in which they orient, train, and assess.

(4) SUBMISSION OF REPORTS

(a) Fitness Reports for Career and Reserve Employees

(1) Initial Report. Supervisors will prepare a Fitness Report, Form 45, for each Career and Reserve Employee nine months after the employee's entrance on duty, unless a report had been prepared for some other reason within the previous 90 days. This report may be deferred up to 30 days if the employee has been under the jurisdiction of his supervisor for less than 90 days. In addition to the normal review, the report will be reviewed by the Operating Official concerned, or his designee.

(2) Annual Report. Supervisors will prepare a Fitness Report, Form 45, for each Career and Reserve Employee annually, unless a report had been prepared for some other reason within the previous 90 days. An annual report may be deferred up to 30 days if the employee has been under the jurisdiction of his supervisor for less than 90 days. Annual Fitness Reports should be submitted in accordance with the following schedule:

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GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL FROM HEADQUARTERS	FROM FIELD
GS–1 through GS–5	31 March	30 April	31 May
GS–6 through GS–8	30 June	31 July	31 August
GS–9 through GS–11	30 September	31 October	30 November
GS–12 and GS–13	31 December	31 January	28 February
GS–14 and above	31 March	30 April	31 May

(b) **Fitness Reports for Temporary Employees.** Supervisors will prepare a Fitness Report, Form 45, for each Temporary Employee upon the termination of his temporary appointment, or earlier if required by special circumstances.

(c) **Reassignment Report.** Supervisors will prepare a Fitness Report when the supervisor is changed by the reassignment of the employee or of the supervisor.

(d) **Special Reports.** Supervisors will prepare other Fitness Reports when required by special circumstances.

(Continued on page 56.1.)

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